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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

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**TRANSMITTAL  
FORM**

MAY 17 2002

(to be used for all correspondence after initial filing)

Application Number	10/084,587
Filing Date	February 25, 2002
First Named Inventor	Gavin, Edward J.
Group Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	016866-008200US

Total Number of Pages in This Submission

8

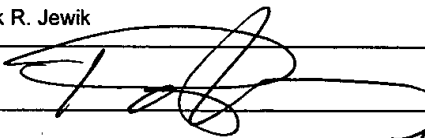
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**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm and Individual name	Townsend and Townsend and Crew LLP Patrick R. Jewik	Reg. No. 40,456
Signature		
Date	May 14, 2002	

**CERTIFICATE OF MAILING**

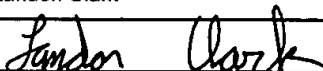
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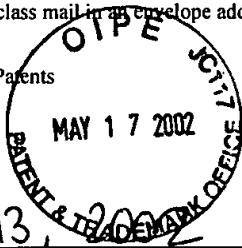
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On

May 13, 2002

TOWNSEND and TOWNSEND and CREW LLP

By:

London Clark

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

Edward J. Gavin, et al.

Application No.: 10/084,587

Filed: February 25, 2002

For: METHOD FOR ANALYZING  
MASS SPECTRA

Examiner: Unassigned

Art Unit: Unassigned

INFORMATION DISCLOSURE  
STATEMENT UNDER 37 CFR §1.97 and  
§1.98

Assistant Commissioner for Patents  
Washington, D.C. 20231

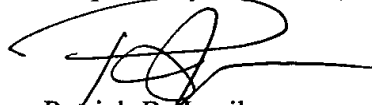
Sir:

The references cited on attached form PTO/SB/08A and PTO/SB/08B are being called to the attention of the Examiner. Copies of the references are enclosed. It is respectfully requested that the cited references be expressly considered during the prosecution of this application, be made of record therein and appear among the "references cited" on any patent to issue therefrom.

As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

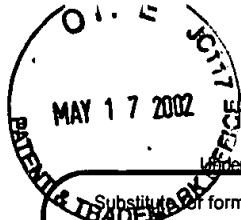
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Respectfully submitted,



Patrick R. Jewik  
Reg. No. 40,456

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Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet **1** of **1**

### Complete if Known

Application Number	10/084,587
Filing Date	February 25, 2002
First Named Inventor	Gavin, Edward J.
Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	016866-008200US

### U.S. PATENT DOCUMENTS

Examiner	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number Kind Code <sup>2</sup> (if known)			
	AA	US-5,687,716	11-18-1997	Kaufmann et al.	
	AB	US-5,697,369	12-16-1997	Long, Jr. et al.	
	AC	US-5,790,761	08-04-1998	Heseltine et al.	
	AD	US-5,839,438	11-24-1998	Graettinger et al.	
	AE	US-5,946,640	08-31-1999	Goodacre et al.	
	AF	US-6,025,128	02-15-2000	Veltri et al.	

### FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
	AG	WIPO	01/99043	A1	12-27-2001	Correlogic Systems, Inc.		
	AH	WIPO	02/06829	A2	01-24-2002	Correlogic Systems, Inc.		

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Signature

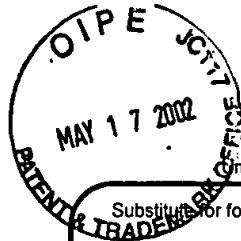
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		Art Unit	Unassigned
		Examiner Name	Unassigned
Sheet <b>2</b>	of	Attorney Docket Number	016866-008200US

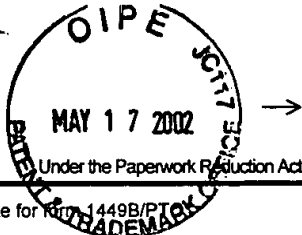
OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS			
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	AI	NIKULIN, ALEXANDER E., et al., "Near-optimal region selection for feature space reduction: novel preprocessing methods for classifying MR spectra", NMR IN BIOMEDICINE, (1998), 209-216, Vol. 11	
	AJ	GUSTAV SCHROLL, et al., "Applications of Artificial Intelligence for Chemical Inference. III. Aliphatic Ethers Diagnosed by Their Low-Resolution Mass Spectra and Nuclear Magnetic Resonance Data", Journal of the American Chemical Society, December 17, 1969, pp. 7440-7445, Vol. 91, No. 26	
	AK	L. R. CRAWFORD, et al., "Computer Methods in Analytical Mass Spectrometry. Empirical Identification of Molecular Class", Analytical Chemistry, August, 1968, pp. 1469-1474, Vol. 40, No. 10	
	AL	P. C. JURIS, et al., "Computerized Learning Machines Applied to Chemical Problems. Molecular Formula Determination from Low Resolution Mass Spectrometry", Analytical Chemistry, January 1969, pp. 21-27, Vol. 41, No. 1	
	AM	H. L. C. MEUZELAAR, et al., "A Technique for Fast and Reproducible Fingerprinting of Bacteria by Pyrolysis Mass Spectrometry", Analytical Chemistry, March 1973, pp. 587-590, Vol. 45, No. 3	
	AN	N. A. B. GRAY, "Constraints on 'Learning Machine' Classification Methods", Analytical Chemistry, December 1976, pp. 2265-2268, Vol. 48, No. 14	
	AO	S. R. LOWRY, et al., "Comparison of Various K-Nearest Neighbor Voting Schemes with the Self-Training Interpretive and Retrieval System for Identifying Molecular Substructures from Mass Spectral Data", Analytical Chemistry, October 1977, pp. 1720-1722, Vol. 49, No. 12	
	AP	HALLIDAY J. H. MACFIE, et al., "Use of Canonical Variates Analysis in Differentiation of Bacteria by Pyrolysis Gas-Liquid Chromatography", Journal of General Microbiology, 1978, pp. 67-74, Vol. 104	
	AQ	E. NEELY ATKINSON, PH.D., et al., "Statistical Techniques for Diagnosing CIN Using Fluorescence Spectroscopy: SVD and CART", Journal of Cellular Biochemistry, Supplement, 1995, pp. 125-130, Vol. 23	
	AR	S. DZEROSKI, et al., "Diterpene Structure Elucidation From <sup>13</sup> C NMR-Spectra With Machine Learning", Chapter 12 in Intelligent Data Analysis in Medicine and Pharmacology, N. Lavrač, et al. ed., Kluwer Academic Publishers (Boston), 1997, pp. 207-225	
	AS	K. VOORHEES, et al., "Approaches to Pyrolysis/Mass Spectrometry Data Analysis of Biological Materials", Chapter 11 in Computer-Enhanced Analytical Spectroscopy, H.L.C. Meuzelaar ed., Plenum Press (New York), 1990, pp. 259-275, Vol. 2	
	AT	G. REIBNEGGER, et al., "Neural networks as a tool for utilizing laboratory information: Comparison with linear discriminant analysis and with classification and regression trees", Proc. Natl. Acad. Sci. USA, December 1991, pp. 11426-11430, Vol. 88	
	AU	E. JELLUM, et al., "Mass Spectrometry in Diagnosis of Metabolic Disorders", Biomedical and Environmental Mass Spectrometry, 1988, pp. 57-62, Vol. 16	
	AV	B. J. WYTHOFF, et al., "Spectral Peak Verification and Recognition Using a Multilayered Neural Network", Anal. Chem., 1990, pp. 2702-2709, Vol. 62	
	AW	B. MEYER, et al., "Identification of the <sup>1</sup> H-NMR Spectra of Complex Oligosaccharides with Artificial Neural Networks", Science, February 1991, pp. 542-544, Vol. 251	

Examiner Signature	Date Considered
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		First Named Inventor	Gavin, Edward J.
		Art Unit	Unassigned
		Examiner Name	Unassigned
Sheet <b>3</b>	of	Attorney Docket Number	016866-008200US

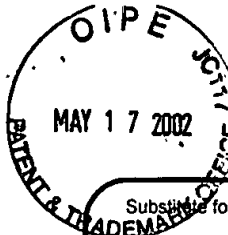
OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS			
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	AX	J. W. FURLONG, et al., "Neural Network Analysis of Serial Cardiac Enzyme Data, A Clinical Application of Artificial Machine Intelligence", Am J Clin Pathol, 1991, pp. 134-141, Vol. 96	
	AY	D. V. CICHETTI, "Neural Networks and Diagnosis in the Clinical Laboratory: State of the Art", Clin. Chem., 1992, pp. 9-10, Vol. 38, No. 1	
	AZ	R. ASHFAQ, et al., "Evaluation of PAPNET™ System for Rescreening of Negative Cervical Smears", Diagnostic Cytopathology, 1995, pp. 31-36, Vol. 13, No. 1	
	BA	D. C. MALINS, et al., "Models of DNA structure achieve almost perfect discrimination between normal prostate, benign prostatic hyperplasia (BPH), and adenocarcinoma and have a high potential for predicting BPH and prostate cancer", Proc. Natl. Acad. Sci. USA, January 1997, pp. 259-264, Vol. 94	
	BB	I. W. RICKETTS, et al., "Towards the Automated Prescreening of Cervical Smears", IEE Colloquium on Applications of Image Processing in Mass Health Screening, Digest No. 056, March 11, 1992, pp. 7/1-7/4	
	BC	H. KOHNO, et al., "Quantitative Analysis of Scintiscan Matrices by Computer", Japanese Journal of Medical Electronics and Biological Engineering, August 1974, pp. 218-225, Vol. 12, No. 4	
	BD	Salford Systems White Paper Series, <a href="http://www.salford-systems.com/whitepaper.html">http://www.salford-systems.com/whitepaper.html</a> , printed October 17, 2000	
	BE	V. BERIKOV, et al., "Regression trees for analysis of mutational spectra in nucleotide sequences", Bioinformatics, 1999, pp. 553-562, Vol. 15, Nos. 7/8	
	BF	L. BREIMAN, et al., Chapters 6-8 in Classification and Regression Trees, CRC Press (Boca Raton), 1998, pp. 174-265	
	BG	J. M. HALKET, et al., "Deconvolution Gas Chromatography/Mass Spectrometry of Urinary Organic Acids - Potential for Pattern Recognition and Automated Identification of Metabolic Disorders", Rapid Commun. Mass Spectrom, 1999, pp. 279-284, Vol. 13	
	BH	A. EGHBALDAR, et al., "Identification of Structural Features from Mass Spectrometry Using a Neural Network Approach: Application of Trimethylsilyl Derivatives Used for Medical Diagnosis", J. Chem. Inf. Comput. Sci., 1996, pp. 637-643, Vol. 36	
	BI	R. J. BABAIAN, et al., "Performance of a Neural Network in Detecting Prostate Cancer in the Prostate-Specific Antigen Reflex Range of 2.5 to 4.0 ng/mL", Urology, 2000, pp. 1000-1006, Vol. 56, No. 6	
	BJ	C. S. TONG, et al., "Mass Spectral Search method using the Neural Network approach", Proceedings, International Joint Conference on Neural Networks, Washington, DC, July 1999, pp. 3962-3967, Vol. 6	
	BK	C. S. TONG, et al., "Mass spectral search method using the neural network approach", Chemometrics and Intelligent Laboratory Systems, 1999, pp. 135-150, Vol. 49	
	BL	R. R. HASHEMI, et al., "Identifying and Testing of Signatures for Non-Volatile Biomolecules Using Tandem Mass Spectra", Sigbio newsletter, ACM Press, December 1995, pp. 11-19, Vol. 15, No. 3	

Examiner Signature	Date Considered
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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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Sheet 4

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**OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	BM	I. BELIČ, et al., "Neural network methodologies for mass spectra recognition", Vacuum, 1997, pp. 633-637, Vol. 48, Nos. 7-9	
	BN	W. WERTHER, et al., "Classification of mass spectra, A comparison of yes/no classification methods for the recognition of simple structural properties", Chemometrics and Intelligent Laboratory Systems, 1994, pp. 63-76, Vol. 22	
	BO	A. Y. CAIRNS, et al., "Towards the Automated Prescreening of Breast X-Rays", Digest of the IEE Colloquium, Applications of Image Processing in Mass Health Screening, University of Dundee, pp. 1/1-1/5	
	BP	M. ASTION, et al., "The Application of Backpropagation Neural Networks to Problems in Pathology and Laboratory Medicine, Arch Pathol Lab Med, October 1992, pp. 995-1001, Vol. 116	
	BQ	R. GOODACRE, "Rapid identification of urinary tract infection bacteria using hyperspectral whole-organism fingerprinting and artificial neural networks", Microbiology, 1998, pp. 1157-1170, Vol. 144	
	BR	J. TAYLOR, "The deconvolution of pyrolysis mass spectra using genetic programming: application to the identification of some Eubacterium species", FEMS Microbiology Letters, 1998, pp. 237-246, Vol. 160	
	BS	R. GOODACRE, et al., "Discrimination between methicillin-resistant and methicillin-susceptible Staphylococcus aureus using pyrolysis mass spectrometry and artificial neural networks, Journal of Antimicrobial Chemotherapy, 1998, pp. 27-34, Vol. 41	
	BT	J. CHUN, et al., "Long-term Identification of Streptomyces Using Pyrolysis Mass Spectrometry and Artificial Neural Networks", Zbl. Bakt., 1997, pp. 258-266, Vol. 285	
	BU	R. G. W. KENYON, et al., "Application of Neural Networks to the Analysis of Pyrolysis Mass Spectra", Zbl. Bakt., 1997, pp. 267-277, Vol. 285	
	BV	T. NILSSON, et al., "Classification of Species in the Genus Penicillium by Curie Point Pyrolysis/Mass Spectrometry Followed by Multivariate Analysis and Artificial Neural Networks", Journal of Mass Spectrometry, 1996, pp. 1422-1428, Vol. 31	
	BW	R. GOODACRE, et al., "Sub-species Discrimination, Using Pyrolysis Mass Spectrometry and Self-organising Neural Networks, of Propionibacterium acnes Isolated from Normal Human Skin", Zbl. Bakt., 1996, pp. 501-515, Vol. 284	
	BX	R. GOODACRE, et al., "Quantitative Analysis of Multivariate Data Using Artificial Neural Networks: A Tutorial Review and Applications to the Deconvolution of Pyrolysis Mass Spectra", Zbl. Bakt., 1996, pp. 516-539, Vol. 284	
	BY	R. GOODACRE, et al., "Identification and Discrimination of Oral Asaccharolytic Eubacterium spp. by Pyrolysis Mass Spectrometry and Artificial Neural Networks", Current Microbiology, 1996, pp. 77-84, Vol. 32	
	BZ	R. GOODACRE, et al., "Correction of Mass Spectral Drift Using Artificial Neural Networks", Anal. Chem., 1996, pp. 271-280, Vol. 68	
	CA	R. FREEMAN, et al., "Resolution of batch variations in pyrolysis mass spectrometry of bacteria by the use of artificial neural network analysis", Antonie van Leeuwenhoek, 1995, pp. 253-260, Vol. 68	

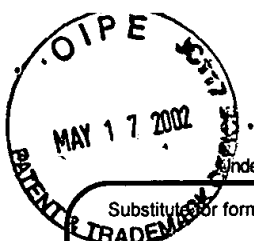
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	CB	D. H. Chace, et al., "Laboratory integration and utilization of tandem mass spectrometry in neonatal screening: a model for clinical mass spectrometry in the next millennium", Acta Paediatr Supp 432, 1999, pp. 45-47, Vol. 88	
	CC	B. CURRY, et al., "MSnet: A Neural Network That Classifies Mass Spectra", Stanford Science Center, Stanford University, Stanford, California, October 1990, pp. 1-31	
	CD	R. A. SHAW, et al., "Infrared Spectroscopy of Exfoliated Cervical Cell Specimens", Analytical and Quantitative Cytology and Histology, August 1999, pp. 292-302, Vol. 21, No. 4	
	CE	I. BELIĆ, "Neural Networks Methodologies for Mass Spectra Recognition", 4 pgs.	
	CF	C. PRIOR, et al., "Potential of Urinary Neopterin Excretion in Differentiating Chronic Non-A, Non-B Hepatitis From Fatty Liver", The Lancet, November 1987, pp. 1235-1237	
	CG	JOHN R. YATES, III, et. al., "Mass Spectrometry and the Age of the Proteome", Journal of Mass Spectrometry, 1998, pp. 1-19, Vol. 33	
	CH	ARNO HAUSEN, et al., "Determination of Neopterin in Human Urine by Reversed-Phase High-Performance Liquid Chromatography", Journal of Chromatography, 1982, pp. 61-70, Vol. 227	
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